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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ABBAS *et al.*

Appl. No. 09/903,508

Filed: July 13, 2001

For: **Transformation Systems for
Flavinogenic Yeast**

Art Unit: 1645

Examiner: *To Be Assigned*

Atty. Docket: 1533.0830003/MAC/RGM

Information Disclosure Statement

Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. A copy of each of these documents is provided.

In accordance with 37 C.F.R. § 1.98(a)(3), Applicants' undersigned representative submits the following, in regard to non-English language documents AL1, AN1 and AR15 cited on Form PTO 1449:

Document AL1, WO 95/26406, is in a foreign language. AL1 is believed to disclose the DNA sequences corresponding to six genes for riboflavin biosynthesis from *Ashbya gossypii*. An English language abstract of document AL1 is attached as document AS3.

Document AN1, WO 99/61623, is in a foreign language. AN1 is believed to disclose the DNA sequences corresponding to three genes for riboflavin synthesis from *Ashbya gossypii* and a method for increasing riboflavin production in *Ashbya gossypii*. An English language abstract of document AN1 is attached as document AR3.

Document AR4 is in a foreign language. Document AR4 is believed to disclose a thermostable riboflavin kinase in *Pichia guilliermondii* yeast. An English language abstract appears at the end of the article.

Document AS7 is in a foreign language. Document AS7 is believed to disclose the cloning of the *Pichia guilliermondii* riboflavin synthase gene. An English language abstract appears at the end of the article.

Document AS8 is in a foreign language. Document AS8 is believed to disclose transformation of *Hansenula polymorpha*, *Pichia guilliermondii* and *Williopsis saturnus* by a plasmid containing the *S. cerevisiae* ADE2 gene. An English language abstract appears at the end of the article.

Document AT10 is in a foreign language. Document AT10 is believed to disclose a flavinogenous mutant of the yeast *Pichia guilliermondii* with damaged transport of iron. An English language abstract appears at the end of the article.

Document AT11 is in a foreign language. Document AT11 is believed to disclose detection of cryptic riboflavin permease in *Pichia guilliermondii* yeast. An English language abstract appears at the end of the article.

Document AR12 is in a foreign language. Document AR12 is believed to disclose the effect of glucose and its derivatives on systems of riboflavin uptake and excretion in *Pichia guilliermondii* yeast. An English language abstract appears at the end of the article.

Document AS12 is in a foreign language. Document AS12 is believed to disclose inhibition of alkaline phosphatase I of *Pichia guilliermondii* yeast *in vitro* and *in vivo*. An English language abstract appears at the end of the article.

Document AT14 is in a foreign language. Document AT14 is believed to disclose the development of cloning and expression transformation systems for nonconventional yeasts. An English language abstract appears at the end of the article.

Document AR15 is in a foreign language. AR15 is believed to disclose methods for genetically transforming the flavinogenic yeasts *Pichia guilliermondii* and *Candida famata*. An English translation of document AR15 is attached as document AS15.

Document AS16 is in a foreign language. Document AS16 is believed to disclose the cloning of the RIB1 gene coding for the enzyme of the first stage of flavinogenesis in *Pichia guilliermondii* yeast and GTP cyclohydrolase in *E. coli* cells. An English language abstract appears at the end of the article.

Document AT16 is in a foreign language. Document AT16 is believed to disclose the respiration system of *Pichia guilliermondii* yeast at different levels of flavinogenesis. An English language abstract appears at the end of the article.

Document AR17 is in a foreign language. Document AR17 is believed to disclose the respiration system of *Pichia guilliermondii* yeast at different levels of flavinogenesis. An English language abstract appears at the end of the article.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not an issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

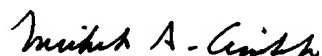
This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this pleading is enclosed.

Respectfully submitted,

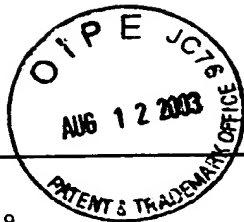
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INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.
1533.0830003/MAC/RGMAPPLICATION NO.
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ABBAS et al.FILING DATE
July 13, 2001GROUP
1646

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA1	4,745,057	05/17/1988	Beckage et al.	435	68	08/13/1984
	AB1	4,794,081	12/27/1988	Kawai et al.	435	66	08/21/1984
	AC1	4,808,537	02/28/1989	Stroman et al.	435	6	10/30/1984
	AD1	4,837,148	06/06/1989	Cregg, J.M.	435	172.3	10/30/1984
	AE1	4,855,231	08/08/1989	Stroman et al.	435	68	09/25/1985
	AF1	4,879,231	11/07/1989	Stroman et al.	435	172.3	10/30/1984
	AG1	4,882,279	11/21/1989	Cregg, J.M.	435	172.3	10/25/1985
	AH1	4,885,242	12/05/1989	Cregg, J.M.	435	68	10/30/1984
	AI1	4,925,794	05/15/1990	Isogai et al.	435	91	12/11/1985
	AJ1	4,929,555	05/29/1990	Cregg et al.	435	172.3	10/19/1987
	AK1	4,935,350	06/19/1990	Patel et al.	435	69.4	11/18/1985

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL1	WO 95/26406	10/05/1995	WIPO			Yes X No
	AM1	EP 0 967 287 A2	12/29/1999	Europe			Yes No
	AN1	WO 99/61623	12/02/1999	WIPO			Yes X No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>1</u>	Becker, D.M., and Guarente, L., "High-Efficiency Transformation of Yeast by Electroporation," <i>Meth. Enzymol.</i> 194:182-187, Academic Press, Inc. (1991).
	AS	<u>1</u>	Birnboim, H.C., and Doly, J., "A rapid alkaline extraction procedure for screening recombinant plasmid DNA," <i>Nucl. Acids Res.</i> 7:1513-1523, Oxford University Press (1979).
	AT	<u>1</u>	Boretsky, Y., et al., "Identification of an ARS element and development of a high efficiency transformation system for <i>Pichia guilliermondii</i> ," <i>Curr. Genet.</i> 36:215-221, Springer-Verlag (October 1999).

EXAMINER

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	AA2	4,937,193	06/26/1990	Hinchliffe et al.	435	172.3	06/26/1987
	AB2	4,943,529	07/24/1990	Van den Berg et al.	435	172.3	07/28/1987
	AC2	4,990,446	02/05/1991	Oberto et al.	435	69.1	12/05/1985
	AD2	4,997,767	03/05/1991	Nozaki et al.	435	320.1	12/23/1986
	AE2	5,041,384	08/20/1991	Wilson et al.	435	255	05/30/1990
	AF2	5,118,625	06/02/1992	Aiba et al.	435	255	12/16/1988
	AG2	5,120,655	06/09/1992	Foster et al.	435	255	06/05/1987
	AH2	5,126,248	06/30/1992	Matsuyama et al.	435	66	08/11/1989
	AI2	5,135,868	08/04/1992	Cregg, J.M.	435	255	09/01/1989
	AJ2	5,164,303	11/17/1992	Heefner et al.	435	66	02/15/1990
	AK2	5,210,023	05/11/1993	Grimmer et al.	435	66	07/01/1991

FOREIGN PATENT DOCUMENTS

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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

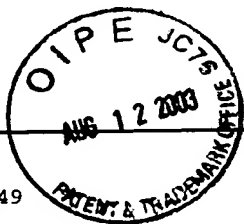
	AR	2	Cannon, R.D., et al., "Isolation and nucleotide sequence of an autonomously replicating sequence (ARS) element functional in <i>Candida albicans</i> and <i>Saccharomyces cerevisiae</i> ," <i>Mol. Gen. Genet.</i> 221:210-218, Springer-Verlag (1990).
	AS	2	Clyne, R.K., and Kelly, T.J., "Genetic analysis of an ARS element from the fission yeast <i>Schizosaccharomyces pombe</i> ," <i>EMBO J.</i> 14:6348-6357, Oxford University Press (1995).
	AT	2	Cregg, J.M., et al., " <i>Pichia pastoris</i> as a Host System for Transformations," <i>Mol. Cell. Biol.</i> 5:3376-3385, American Society for Microbiology (1985).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA3	5,212,087	05/18/1993	Fournier et al.	435	255	01/27/1989
	AB3	5,231,007	07/27/1993	Heefner et al.	435	66	08/15/1991
	AC3	5,268,273	12/07/1993	Buckholz, R.G.	435	69.1	12/14/1990
	AD3	5,334,510	08/02/1994	Usui et al.	435	66	09/09/1992
	AE3	5,460,949	10/24/1995	Saunders et al.	435	55	10/28/1991
	AF3	5,589,355	12/31/1996	Koizumi et al.	435	66	06/06/1995
	AG3	5,665,600	09/09/1997	Hagenson et al.	435	320.1	09/18/1991
	AH3	5,700,643	12/23/1997	Kawasaki, G.	435	6	06/06/1995
	AI3	5,716,808	02/10/1998	Raymond, C.K.	435	69.1	08/26/1996
	AJ3	5,736,383	04/07/1998	Raymond, C.K.	435	255.7	08/26/1996
	AK3	5,817,503	10/06/1998	Chambon et al.	435	254.2	05/30/1995

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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

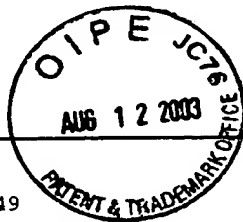
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	3	Dialog File 351, Accession No. 12891639, Derwent WPI English Language abstract for WO99/61623 (Document AN1).
	AS	3	Dialog File 351, Accession No. 10444341, Derwent WPI English Language abstract for WO 95/26406 (Document AL1).
	AT	3	Faber, K.N., et al., "Highly-efficient electrotransformation of the yeast <i>Hansenula polymorpha</i> ," Curr. Genet. 25:305-310, Springer-Verlag (1994).

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	AA4	5,821,090	10/13/1998	Revuelta Doval et al.	435	88	09/24/1996
	AB4	5,837,528	11/17/1998	Perkins et al.	435	252.31	02/06/1995
	AC4	5,854,039	12/29/1998	Raymond et al.	435	172.3	07/14/1997
	AD4	5,866,404	02/02/1999	Bradshaw et al.	435	252.33	12/06/1996
	AE4	5,871,957	02/16/1999	Kawasaki et al.	435	69.1	08/22/1994
	AF4	5,891,672	04/06/1999	Wang et al.	435	69.1	11/25/1997
	AG4	5,925,538	07/20/1999	Perkins et al.	435	66	08/24/1998
	AH4	5,932,701	08/03/1999	Black et al.	530	350	11/25/1997
	AI4	6,017,728	01/25/2000	Black et al.	435	69.1	11/25/1997
	AJ4	6,146,866	11/14/2000	Viitanen et al.	435	193	10/28/1998
	AK4	3,932,390	01/13/1976	Daigle et al.	260	243 R	04/29/1975

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	AL						Yes No
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	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>4</u>	Fayura, L.R., and Kashchenko, V.E., "Thermostable riboflavin kinase in yeast <i>Pichia guilliermondii</i> ," <i>Ukr. Biokim. Zh.</i> 69:21-25, Naukova Dumka (1997). An English language abstract is at the end of the document.
	AS	<u>4</u>	Fedorovych, D., et al., "Hexavalent chromium stimulation of riboflavin synthesis in flavinogenic yeast," <i>Biometals</i> 14:23-31, Kluwer Academic Publishers (March 2001).
	AT	<u>4</u>	Iimura, Y., et al., "Yeast Transformation without the Spheroplasting Process," <i>Agric. Biol. Chem.</i> 47:897-901, The Agricultural Chemical Society of Japan (1983).

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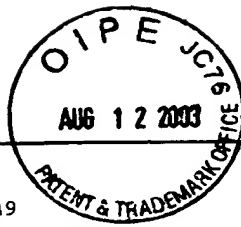
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA5	4,102,923	07/25/1978	Pepperman, Jr. et al.	260	553 R	09/08/1975
	AB						
	AC						
	AD						
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	AG						
	AH						
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>5</u>	Kasüske, A., et al., "Efficient Electropulse Transformation of Intact <i>Candida maltosa</i> Cells by Different Homologous Vector Plasmids," Yeast 8:691-697, John Wiley & Sons (1992).
	AS	<u>5</u>	Klinner, U., et al., "Hybridization of <i>Pichia guilliermondii</i> by Protoplast Fusion," in <i>Advances in Protoplast Research: Proceedings of the 5th International Protoplast Symposium</i> , Ferenczy, L. and G.L. Farkas, eds., Pergamon Press, pp.113-118 (1980).
	AT	<u>5</u>	Kunze, G., et al., "Transformation of the industrially important yeasts <i>Candida maltosa</i> and <i>Pichia guilliermondii</i> ," J. Basic. Microbiol. 25:141-144, Akademie-Verlag (1985).

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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>6</u>	Kunze, G., et al., "Transformation of <i>Candida maltosa</i> and <i>Pichia guilliermondii</i> by a plasmid containing <i>Saccharomyces cerevisiae</i> ARG4 DNA," <i>Curr. Genet.</i> 9:205-209, Springer-Verlag (1985).
	AS	<u>6</u>	Kunze, G., et al., "Transformation of the Industrially Important Yeasts <i>Candida maltosa</i> and <i>Pichia guilliermondii</i> ," <i>Acta Biotechnol.</i> 6:28, Akademie-Verlag (1986).
	AT	<u>6</u>	Liauta-Teglivets, O., et al., "Molecular Cloning of the GTP-Cyclohydrolase Structural Gene RIB1 of <i>Pichia guilliermondii</i> Involved in Riboflavin Biosynthesis," <i>Yeast</i> 11:945-952, John Wiley & Sons (1995).

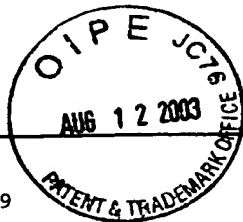
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	7	Logvinenko, E.M., et al., "Biosynthesis of 6,7-dimethyl-8-ribityllumazine in Extracts of the Yeast <i>Pichia guilliermondii</i> ," Biokhimiya (Biochemistry) 47:778-783, Plenum Publishing Corp. Consultants Bureau, Plenum, New York (1982).
AS	7	Logvinenko, E.M., et al., "Cloning of the RIB7 Gene Encoding the Riboflavin Synthase of the Yeast <i>Pichia guilliermondii</i> ," Genetika 29:922-927, MAIK Nauka (1993). An English language abstract is at the end of the document.
AT	7	Mauersberger, S., et al., "Candida maltosa," Chapter 12; Nonconventional Yeasts in Biotechnology: A Handbook, Wolf, K. ed., Springer-Verlag, pp.411-580 (1996).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	8	Meilhoc, E., et al., "High Efficiency Transformation of Intact Yeast Cells by Electric Field Pulses," <i>Bio/Technol.</i> 8:223-227, Nature Publishing Co. (1990).
	AS	8	Neistat, M.A., et al., "Transformation of <i>Hansenula polymorpha</i> , <i>Pichia guilliermondii</i> , <i>Williopsis saturnus</i> Yeasts by a Plasmid Carrying the ADE2 Gene of <i>Saccharomyces cerevisiae</i> ," <i>Mol. Gen. Mikrobiol. Virusol.</i> 12:19-23, Meditsina, (1986). An English language abstract is at the end of the document.
	AT	8	Piredda S., and Gaillardin, C., "Development of a Transformation System for the Yeast <i>Yamadazyma (Pichia) ohmeri</i> ," <i>Yeast</i> 10:1601-1612, John Wiley & Sons (1994).

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U.S. PATENT DOCUMENTS

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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	2	Pla, J., <i>et al.</i> , "Cloning of the <i>Candida albicans</i> <i>HIS1</i> gene by direct complementation of a <i>C. albicans</i> histidine auxotroph using an improved double-ARS shuttle vector," <i>Gene</i> 165:115-120, Elsevier Science B.V. (1995).
	AS	2	Prillinger, H., <i>et al.</i> , "Phytopathogenic Filamentous (Ashbya, Eremothecium) and Dimorphic Fungi (Holleya, Nematospora) with Needle-Shaped Ascospores as New Members Within the Saccharomycetaceae," <i>Yeast</i> 13:945-960, John Wiley & Sons (1997).
	AT	2	Reiser, J., <i>et al.</i> , "Transfer and Expression of Heterologous Genes in Yeasts Other Than <i>Saccharomyces cerevisiae</i> ," <i>Adv. Biochem. Engin./Biotech</i> 43:73-102 in <i>Applied Molecular Genetics</i> , J. Reiser, Springer-Verlag (1990).

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DATE CONSIDERED

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FORM PTO-1449

INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.
1533.0830003/MAC/RGM

APPLICATION NO.
09/903,508

APPLICANT
ABBAS et al.

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	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>10</u>	Rose, M.D., and Roach, J.R., "Cloning Genes by Complementation in Yeast," <i>Meth. Enzymol.</i> 194:195-230, Academic Press, Inc. (1991).
	AS	<u>10</u>	Scorer, C.A., et al., "Rapid Selection Using G418 of High Copy Number Transformants of <i>Pichia pastoris</i> for High-level Foreign Gene Expression," <i>Bio/Technology</i> 12:181-184, Nature Publishing Co. (1994).
	AT	<u>10</u>	Shavlovskii, G.M., et al., "Flavinogenous Mutant of the Yeast <i>Pichia guilliermondii</i> with Damaged Transport of Iron," <i>Mikrobiologiya</i> 45:313-318, Nauka (1976). An English language abstract is at the end of the document.

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	AR	<u>11</u>	Shavlovskii, G.M., et al., "Activity of the second step flavinogenesis enzyme, 2,5-diamino-6-hydroxy-4-ribosylaminopyrimidine-5'-phosphate reductase, in the yeast <i>Pichia guilliermondii</i> ," <i>Mikrobiologiya/Microbiology</i> 50:752-755, Consultants Bureau, New York, Plenum Publishing Corp. (1981).
	AS	<u>11</u>	Sherman, F., et al., "Laboratory Course Manual for Methods in Yeast Genetics," Cold Spring Harbor Laboratory Press, pp. 91-103, 117-122 (1986).
	AT	<u>11</u>	Sibirnyi, A.A., et al., "Active Transport of Riboflavin in the Yeast <i>Pichia guilliermondii</i> . Detection and Some Properties of the Cryptic Riboflavin Permease," <i>Biokhimiia</i> 42:1841-1851, Nauka (1977). An English language abstract is at the end of the document.

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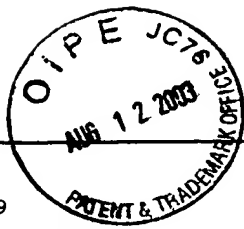
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>12</u>	Sibirnyi, A.A., et al., "Effect of Glucose and its Derivates on Systems of Riboflavin Uptake and Excretion in Yeast <i>Pichia guilliermondii</i> ," <i>Biokhimiia</i> 43:1414-1422, Nauka (1978). An English language abstract is at the end of the document.
	AS	<u>12</u>	Sibirnyi, A.A., and Shavlovskii, G.M., "On Inhibition of Alkaline Phosphatase I of <i>Pichia guilliermondii</i> Yeast in vitro and in vivo," <i>Ukr. Biokhim. Zh.</i> 50:212-217, Naukova dumka (1978). An English language abstract is at the end of the document.
	AT	<u>12</u>	Sibirny, A.A., " <i>Pichia guilliermondii</i> ," in: Nonconventional Yeasts in Biotechnology: A Handbook, Wolf, K., ed., Springer-Verlag, pp.255-275 (1996).

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AR	<u>13</u>	Sreekrishna, K., and Kropp, K.E., "Pichia pastoris," in Nonconventional Yeasts in Biotechnology, K. Wolf, ed., Springer-Verlag, pp.215-226 (1996).
AS	<u>13</u>	Stahmann, K.-P., et al., "Three biotechnical processes using <i>Ashbya gossypii</i> , <i>Candida famata</i> , or <i>Bacillus subtilis</i> compete with chemical riboflavin production," Appl. Microbiol. Biotechnol. 53:509-516, Springer-Verlag (May 2000).
AT	<u>13</u>	Steiner, S., and Philippsen, P., "Sequence and promoter analysis of the highly expressed TEF gene of the filamentous fungus <i>Ashbya gossypii</i> ," Mol. Gen. Genet. 242:263-271, Springer-Verlag (1994).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>14</u>	Takagi, M., et al., "Construction of a Host-Vector System in <i>Candida maltosa</i> by Using an ARS Site Isolated from Its Genome," <i>J. Bacteriol.</i> 167:551-555, American Society for Microbiology (1986).
	AS	<u>14</u>	Thompson, J.R., et al., "An Improved Protocol for the Preparation of Yeast Cells for Transformation by Electroporation," <i>Yeast</i> 14:565-571, John Wiley & Sons (1998).
	AT	<u>14</u>	Voronovsky, A., and Sybirny, A.A., "Development of cloning and expression transformation systems for nonconventional yeasts," <i>Biopolymers and Cell</i> 15:122-132, Naukova Dumka (March-April 1999). An English language summary is at the end of the document.

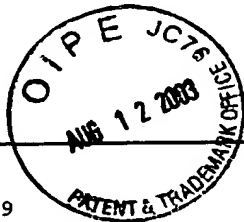
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	AR	15	Voronovsky, A.Y., "Development of Genetic Transformation Systems for the Flavinogenic Yeasts <i>Pichia guilliermondii</i> and <i>Candida famata</i> ," Dissertation, pp. 1-138, Academy of Sciences of the Ukraine (June 2001) (translation attached as document AS15).
	AS	15	Voronovsky, A.Y., "Development of Genetic Transformation Systems for the Flavinogenic Yeasts <i>Pichia guilliermondii</i> and <i>Candida famata</i> ," pp. 1-97, Ralph McElroy Translation Company, Austin, Texas (June 2001).
	AT	15	Yang, C., et al., "Conservation of ARS Elements and Chromosomal DNA Replication Origins on Chromosomes III of <i>Saccharomyces cerevisiae</i> and <i>S. carlsbergensis</i> ," <i>Genetics</i> 152:933-941, Genetics Society of America (July 1999).

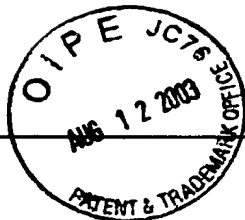
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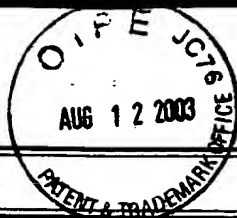
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>16</u>	Yang, V.W., et al., "High-Efficiency Transformation of <i>Pichia stipitis</i> Based on Its <i>URA3</i> Gene and a Homologous Autonomous Replication Sequence, ARS2," <i>Appl. Env. Microbiol.</i> 60:4245-4254, American Society for Microbiology (1994).
	AS	<u>16</u>	Zakalskii, A.E., et al., "Cloning of the RIB1 gene coding for the enzyme of the first stage of flavinogenesis in the yeast <i>Pichia guilliermondii</i> , GTP cyclohydrolase, in <i>Escherichia coli</i> cells," <i>Genetika</i> 26:614-620, MAIK Nauka (1990). An English language abstract is at the end of the document.
	AT	<u>16</u>	Zvjagilskaia, R.A., et al., "The Respiration System of the Yeast <i>Pichia guilliermondii</i> at Different Levels of Flavinogenesis," <i>Mikrobiologiya</i> 47:975-984, Nauka (1978). An English language abstract is at the end of the document.

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TRANSMITTAL

Electronic Version v1.1

Stylesheet Version v1.1.0

Title of Invention	Transformation Systems for Flavinogenig Yeast	
<p>Application Number: 09/903508 *09/903508*</p> <p>Date: 2001-07-13</p> <p>First Named Applicant: Charles Abbas</p> <p>Confirmation Number: 3856</p> <p>Attorney Docket Number: 1533.0830003</p>		
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document (s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>		
Submitted by:	Elec. Sign.	Sign. Capacity
Michele A. Cimbala Registered Number: 33,851	/mac/	<i>Michele A. Cimbala</i> Attorney

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Comments

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

**Title of
Invention****Transformation Systems for Flavinogenig Yeast**

Application Number: 09/903508 *09/903508*

Confirmation Number: 3856

First Named Applicant: Charles Abbas

Attorney Docket Number: 1533.0830003

Search string: (6001597).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	6001597	1999-12-14	Raymond et al.			

Signature

Examiner Name	Date

**UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	Transformation Systems for Flavinogenig Yeast									
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ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmation/Application numbers at this time. They will be checked by PTO personnel later.									
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Abbas *et al.*

Appl. No. 09/903,508

Filed: July 13, 2001

For: **Transformation Systems for
Flavinogenic Yeast**

Confirmation No. 3856

Art Unit: 1636

Examiner: Lambertson, D.

Atty. Docket: 1533.0830003/MAC/RGM

Third Supplemental Information Disclosure Statement

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Commissioner for Patents
Washington, D.C. 20231

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Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Third Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Information Disclosure Statement filed on July 18, 2002 in connection with the above-captioned application. A copy of each document is also provided.

In accordance with 37 C.F.R. § 1.98(a)(3), Applicants' undersigned representative submits the following, concise explanation of the relevance of the non-English language document AO1 cited on Form PTO 1449:

Document AO1, WO 91/18103 A1 is in the French language and appears to relate to a method of electroporation. An English language abstract can be found on the face page of this publication.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered. This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist.

Consideration of the cited documents and making the same of record in the prosecution of the above-identified application is respectfully requested. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michele A. Cimbala
Attorney for Applicants
Registration No. 33,851

Date: June 12, 2003

1100 New York Avenue, N.W.
Washington, D.C. 20005-3934
(202) 371-2600



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	AO1	WO 91/18103 A1	11/28/1991	WIPO			Yes X No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>17</u>	Faber, K.N., et al., "Highly-efficient electrotransformation of the yeast <i>Hansenula polymorpha</i> ," Curr. Genet. 25:305-310, Springer-Verlag (1994)
	AS	<u>17</u>	Seifert, H.S., et al., "Shuttle mutagenesis: A method of transposon mutagenesis for <i>Saccharomyces cerevisiae</i> ," Proc. Natl. Acad. Sci. USA 83:735-739, The National Academy of Sciences (1986)
	AT	<u>17</u>	Tan, X., et al., "The <i>Hansenula polymorpha</i> PER8 Gene Encodes a Novel Peroxisomal Integral Membrane Protein Involved in Proliferation," J. Cell Biol. 128:307-319, The Rockefeller University Press (1995)

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	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>18</u>	Database EMBL 'Online!', Database Entry SC35112, Database Accession No. U35112 (1995)
	AS	<u>18</u>	Database EMBL 'Online!', Database Entry AF347016, Database Accession No. AF347016 (March 19, 2001)
	AT	<u>18</u>	International Search Report for International Patent Application No. PCT/US01/22083, mailed October 10, 2002

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.